



**PATENT**

**(Practitioner's Docket No. IN-5587)**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

Marvin L. GREEN, et al.

Serial No: 10/732,850

Filed: December 9, 2003

Group Art Unit:

Examiner: Not Assigned

For: USE OF UREA CRYSTALS FOR NON-POLYMERIC COATINGS

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)**

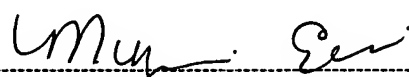
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<input checked="" type="checkbox"/>	Information Disclosure Statement
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Marjorie Ellis

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**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

☐ An International Search Report has no been provided yet. The Search Report and References will be submitted when received

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g) ), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

**COPIES PROVIDED:**

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☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except Copies of U.S. patents, patent applications, and publications as indicated below:

☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [ ], filed on [ ]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

- ☐ Application Serial No. [ ] was published as Publication No. [ ]. The Bibliographic information for this publication is correct, but the abstract, specification, and claims are not those of [ ]. Therefore, the bibliographic page for Publication No. [ ] is provided with a copy of the specification as filed for [ ].

**FOREIGN LANGUAGE DOCUMENTS**

- ☐ There are no foreign language documents listed on Form PTO-1449.
- ☒ The following non-English language references were cited in the specification. The English language equivalents for these references are being submitted in addition to or in substitution for the non-English references.

WO03/000813	10/473,728
WO02/090414	10/473,730

- ☒ English language abstract for the following non-English references are enclosed.

DE1619816
DE10118532
DE4423260
DE19811471

- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:
- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:
- ☐ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

- ☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**

☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$180.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:

☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**

☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation **Deposit Account No. 23-3425** for any additional fees due hereunder.

Reg. No.: **42,906**

Tel. No.: ( **248** ) **948-2355**

Customer No. **26922**

  
SIGNATURE OF ATTORNEY and DATE

**Michael F. Morgan, January 21, 2004**

Type or print name of attorney

**BASF Corporation**

**26701 Telegraph Road**

P.O. Address

**Southfield, Michigan 48034-2442**

FORM PTO-1449  
(MODIFIED)US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5587

LIST OF ART CITED BY APPLICANT  
(Use sever of sheets if necessary)

In re Application of: Marvin GREEN et al.

Serial No.: 10/732,850

Filed: December 9, 2003

## U.S. PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	2002/0082324	6/27/02	Van Heugten et al.			6/19/01
	AB	2003/0180539	09/25/03	Rockrath et al.			02/12/03
	AC	3,547,848	12/15/70	Marsh			11/3/67
	AD	3,893,956	7/8/75	Brandt			12/7/73
	AE	4,169,930	10/2/79	Blount			4/8/77
	AF	4,311,622	1/19/82	Buter			1/31/80
	AG	4,383,068	5/10/83	Brandt			1/15/79
	AH	4,403,003	09/06/83	Backhouse			03/31/81
	AI	4,416,941	11/22/83	Barsotti			7/30/82
	AJ	4,425,468	01/10/84	Makhlouf et al.			12/31/81
	AK	4,522,958	01/11/85	Das et al.			09/06/83
	AL	4,528,319	7/9/85	Ottavini et al.			7/20/84
	AM	4,647,647	3/3/87	Haubennestel et al.			12/24/84
	AN	4,677,028	6/30/87	Heeringa et al.			2/20/86
	AO	4,762,752	8/9/88	Haubennestel, et al.			9/30/86
	AP	4,833,146	5/23/89	Gebert et al.			7/8/86
	AQ	4,839,406	6/13/89	Natura et al.			9/14/87
	AR	4,851,294	7/25/89	Buter et al.			2/18/86
	AS	4,851,460	7/25/89	Stranghöner et al.			8/18/87
	AT	4,882,408	11/21/89	Blum			07/11/88
	AU	4,965,317	10/23/90	Kania et al.			10/16/89
	AV	5,264,486	11/23/93	Piestert			12/4/91
	AW	5,391,620	2/21/95	Bederke et al.			10/20/93
	AX	5,468,461	11/21/95	Hosoda et al.			08/25/94
	AY	5,977,256	11/2/99	Huybrechts et al.			4/29/96
	AZ	6,111,001	8/29/00	Barancyk et al.			11/24/98
	BA	6,136,762	10/24/00	Yoshinari et al.			02/28/00
	BB	6,403,699	6/11/02	Röckrath et al.			3/16/94
	BC	6,410,646	7/25/02	Röckrath et al.			3/6/98
	BD	6,630,537	10/07/03	Baumgart et al.			01/17/00
	BE	6,642,305	11/04/03	Van Jeugten et al.			06/19/01
	BF	6,649,706	11/18/03	Heid et al.			11/14/01
	BG	6,652,915	11/25/03	Baumgart et al.			11/16/01
	BH	6,652,916	11/25/03	Baumgart et al.			11/14/01

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".

FORM PTO-1449  
(MODIFIED)US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

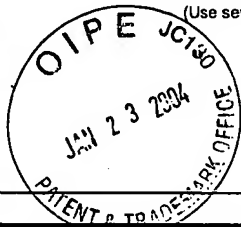
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## FOREIGN PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATED	
							YES	NO
/	BI	DE 16 19 816	22.10.70	DE				X
/	BJ	DE 4423260	04.01.96	DE				X
/	BK	DE 19811471	23.09.99	DE				X
/	BL	DE 10118532	24.10.02	DE				X
/	BM	EP 038127	24.03.81	EP			X	
/	BN	JP 60-120750	28.06.85	JP			X	
/	BO	WO97/12945	10.04.97	WO			X	
/	BP	WO00/32670	08.06.00	WO			X	
/	BQ	WO02/090414	14.11.02	WO				X
/	BR	WO03/000813	03.01.03	WO				X
/	BS	WO03/014233	20.02.03	WO			X	
/	BT	WO03/091350	06.11.03	WO				X

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

/	BU	HCAPLUS Accession No. 1969:20743, English abstract for DE1619816, 1970-10-22.
/	BV	Abstract for DE4423260, 1996-01-04, provided by EPO.
/	BW	Abstract for DE19811471, 1999-09-23, provided by EPO.
/	BX	Abstract for JP64-024851, 1989-01-26, provided by JPO
/	BY	Derwent Accession No. 1999-199134, English abstract for JP 11043640, 1999-02-16.
/	BZ	Derwent Accession No. 1982-01817J, English abstract for SU889614, 1982-01-23.
/	CA	Derwent Accession No2003-542800, English abstract for DE10118532, 2002-10-24.
/	CB	Patent Application No. 09/856,773, filed 15.11.98, Entitled "Coating composition and process its preparation", Baumgart et al. (IN-5498)
/	CC	Patent Application No. 09/779,948 filed 2/9/2001, Entitled "Method of improving the appearance of coating articles having both vertical and horizontal surfaces, and coating compositions for use therein", Boisseau et al. (IN-5436)
/	CD	Patent Application No. 10/344,614, filed 2/12/2003, Entitled "Trixtotropic agent that can be activated using actinic radiation, a method for its production and the use thereof", Röckrath, et al. (IN-5657)
/	CE	Patent Application No. 10/473,728, filed 10/1/03, Entitled "Mixtures which contain carbamate groups and/or allophanate groups and can be cured thermally and by using actinic radiation", Baumgart et al. (IN-5731)
/	CD	Patent Application No. 10/473,730, filed 10/1/03, Entitled "Thermally curable, thixotropic blends containing carbamate and allophanate groups", Baumgart et al. (IN-5714)

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